

**STATE OF MAINE
FY 2014-2015
PLAN AND APPLICATION
COMMUNITY SERVICES BLOCK GRANT**

I. FEDERAL FISCAL YEARS COVERED BY THIS STATE PLAN AND APPLICATION

FY 2014 October 1, 2013 through FY 2015 September 30, 2015

II. LETTER OF TRANSMITTAL

III. EXECUTIVE SUMMARY

A. CSBG State Legislation

State of Maine statutory authority for the Community Services Block Grant program is provided in Maine Revised Statute, Title 22, Subtitle 4, Part 1-A, Chapter 1477, Sections 5321-5329.
Attachment B

B. Designation of Lead State Agency to Administer the CSBG Recovery Act Program

Appended as **Attachment A**, is a letter designating the Maine Department of Health and Human Services as the State agency authorized to accept funding under the Community Services Block Grant as well as plan and administer community service programs in the state. Furthermore the Department of Health and Human Services is responsible for monitoring the state poverty level, overseeing the state's community action agencies, and for coordinating and planning for statewide community services.

C. Public Hearing Requirements

(1) Public Legislative Hearing:

In accordance with the Federal requirement of Section 675(b) of the Community Services Block Grant Act that state legislatures conduct public hearings on the proposed use and distribution of CSBG funds, the Department of Health and Human Services, in conjunction with the State Legislature's Joint Standing Committees on Appropriations and Financial Affairs on Health and Human Services, held a public hearing on Thursday March 28, 2013 on the proposed FY2014-2015 Community Services Block Grant. **Attachment C**

(2) Public Inspection of State CSBG Plan and Application:

A Public Hearing in conjunction with the development of the CSBG State Plan and Application was held August 29, 2013 at 2 Anthony Ave. Augusta, Maine. Notice of availability of the FY 2014-2015 State Community Services Block Grant Plan and Application was placed in Maine's official daily newspaper, on the DHHS Website and at the DHHS/Office of Child and Family

Services for public review and comment. Copies are emailed to all interested parties of record and to others upon request. **Attachment D**

IV. STATEMENT OF FEDERAL AND CSBG ASSURANCES

Community Services Block Grant Reauthorization Act of 1998: P.L. 105-285

As a part of the annual or biannual application and plan required by Section 676 of the Community Services Block Grant Act, as amended, (The Act), the designee of the Chief Executive of **the State hereby agrees to the Assurances in Section 676 of the Act –**

Programmatic Assurances

(1) an assurance that funds made available through the grant or allotment will be used—

(A) to support activities that are designed to assist low-income families and individuals, including families and individuals receiving assistance under part A of title IV of the Social Security Act (42 U.S.C. 601 et seq.), homeless families and individuals, migrant or seasonal farm workers, and elderly low-income individuals and families, and a description of how such activities will enable the families and individuals—

(i) to remove obstacles and solve problems that block the achievement of self-sufficiency (including self-sufficiency for families and individuals who are attempting to transition off a State program carried out under part A of title IV of the Social Security Act);

(ii) to secure and retain meaningful employment;

(iii) to attain an adequate education, with particular attention toward improving literacy skills of the low-income families in the communities involved, which may include carrying out family literacy initiatives;

(iv) to make better use of available income;

(v) to obtain and maintain adequate housing and a suitable living environment;

(vi) to obtain emergency assistance through loans, grants, or other means to meet immediate and urgent family and individual needs; and

(vii) to achieve greater participation in the affairs of the communities involved, including the development of public and private grassroots partnerships with local law enforcement agencies, local housing authorities, private foundations, and other public and private partners to—

(I) document best practices based on successful grassroots intervention in urban areas, to develop methodologies for widespread replication; and

(II) strengthen and improve relationships with local law enforcement agencies, which may include participation in activities such as neighborhood or community policing efforts;

(B) to address the needs of youth in low-income communities through youth development programs that support the primary role of the family, give priority to the prevention of youth problems and crime, and promote increased community coordination and collaboration in meeting the needs of youth, and support development and expansion of innovative community-based youth development programs that have demonstrated success in preventing or reducing youth crime, such as—

(i) programs for the establishment of violence-free zones that would involve youth development and intervention models (such as models involving youth mediation, youth mentoring, life skills training, job creation, and entrepreneurship programs); and

(ii) after-school child care programs; and

(C) to make more effective use of, and to coordinate with, other programs related to the purposes of this subtitle (including State welfare reform efforts); the term “low income” shall be defined as families and households with an income up to 125 percent of the official poverty guidelines.

(2) a description of how the State intends to use discretionary funds made available from the remainder of the grant or allotment described in section 675C(b) in accordance with this subtitle, including a description of how the State will support innovative community and neighborhood-based initiatives related to the purposes of this subtitle;

(3) information provided by eligible entities in the State, containing—

(A) a description of the service delivery system, for services provided or coordinated with funds made available through grants made under section 675C(a), targeted to low-income individuals and families in communities within the State;

(B) a description of how linkages will be developed to fill identified gaps in the services, through the provision of information, referrals, case management, and follow-up consultations;

(C) a description of how funds made available through grants made under section 675C(a) will be coordinated with other public and private resources; and

(D) a description of how the local entity will use the funds to support innovative community and neighborhood-based initiatives related to the purposes of this subtitle, which may include fatherhood initiatives and other initiatives with the goal of strengthening families and encouraging effective parenting;

(4) an assurance that eligible entities in the State will provide, on an emergency basis, for the provision of such supplies and services, nutritious foods, and related services, as may be necessary to counteract conditions of starvation and malnutrition among low-income individuals;

(5) an assurance that the State and the eligible entities in the State will coordinate, and establish linkages between, governmental and other social services programs to assure the effective delivery of such services to low-income individuals and to avoid duplication of such services, and a description of how the State and the eligible entities will coordinate the provision of employment and training activities, as defined in section 101 of such Act, in the State and in communities with entities providing activities through statewide and local workforce investment systems under the Workforce Investment Act of 1998;

(6) an assurance that the State will ensure coordination between antipoverty programs in each community in the State, and ensure, where appropriate, that emergency energy crisis intervention programs under title XXVI (relating to low-income home energy assistance) are conducted in such community;

(7) an assurance that the State will permit and cooperate with Federal investigations undertaken in accordance with section 678D;

(8) an assurance that any eligible entity in the State that received funding in the previous fiscal year through a community services block grant made under this subtitle will not have its funding terminated under this subtitle, or reduced below the proportional share of funding the entity received in the previous fiscal year unless, after providing notice and an opportunity for a hearing on the record, the State determines that cause exists for such termination or such reduction, subject to review by the Secretary as provided in section 678C(b);

(9) an assurance that the State and eligible entities in the State will, to the maximum extent possible, coordinate programs with and form partnerships with other organizations serving low-income residents of the communities and members of the groups served by the State, including religious organizations, charitable groups, and community organizations;

(10) an assurance that the State will require each eligible entity in the State to establish procedures under which a low-income individual, community organization, or religious organization, or representative of low-income individuals that considers its organization, or low-income individuals, to be inadequately represented on the board (or other mechanism) of the eligible entity to petition for adequate representation;

(13) an assurance that the State will secure from each eligible entity in the State, as a condition to receipt of funding by the entity through a community services block grant made under this subtitle for a program, a community action plan (which shall be submitted to the Secretary, at the request of the Secretary, with the State plan) that includes a community-needs assessment for the community served, which may be coordinated with community-needs assessments conducted for other programs;

(12) an assurance that the State and all eligible entities in the State will, not later than fiscal year 2001, participate in the Results Oriented Management and Accountability System, another performance measure system for which the Secretary facilitated development pursuant to section 678E(b), or an alternative system for measuring performance and results that meets the requirements of that section, and a description of outcome measures to be used to measure eligible entity performance in promoting self-sufficiency, family stability, and community revitalization; and

(13) information describing how the State will carry out the assurances[676(b)(15)] **This is the Narrative CSBG State Plan.**

Administrative Assurances

The State further agrees to the following administrative assurances, as required under the Community Services Block Grant Act:

(1) **STATE APPLICATION AND PLAN-** To submit an application to the Secretary containing information and provisions that describe the programs for which assistance is sought under the Community Services Block Grant program prepared in accordance with and containing the information described in Section 676 of the Act. [’675A(b)]

(2) To use not less than 90 percent of the funds made available to the State by the Secretary under Section 675A or 675B of the Act to make grants to eligible entities for the stated purposes of the Community Services Block Grant program and to make such funds available to eligible entities for obligation during the fiscal year and the succeeding fiscal year, subject to the provisions regarding recapture and redistribution of unobligated funds outlined below. [’675C(a)(1) and (2)]

(3) In the event that the State elects to recapture and redistribute funds to an eligible entity through a grant made under Section 675C(a)(1) when unobligated funds exceed 20 percent of the amount so distributed to such eligible entity for such fiscal year, the State agrees to redistribute recaptured funds to an eligible entity, or require the original recipient of the funds to redistribute the funds to a private, nonprofit organization, located within the community served by the original recipient of the funds, for activities consistent with the purposes of the Community Services Block Grant program. [’675C (a)(3)]

(4) To spend no more than the greater of \$55,000 or 5 percent of its grant received under Section 675A or the State allotment received under section 675B for administrative expenses, including monitoring activities. [’675C(b)(2)]

- (5) In states with a charity tax credit in effect under state law, the State agrees to comply with the requirements and limitations specified in Section 675© regarding use of funds for statewide activities to provide charity tax credits to qualified charities whose predominant activity is the provision of direct services within the United States to individuals and families whose annual incomes generally do not exceed 185 percent of the poverty line in order to prevent or alleviate poverty among such individuals and families. [‘675(c)]
- (6) That the lead agency will hold at least one hearing in the State with sufficient time and statewide distribution of notice of such hearing, to provide to the public an opportunity to comment on the proposed use and distribution of funds to be provided through the grant or allotment under Section 675A or ‘675B for the period covered by the State Plan. [‘676(a)(2)(B)]
- (7) That the chief executive officer of the State will designate, an appropriate State agency for purposes of carrying out State Community Services Block Grant program activities. [‘676(a)(1)]
- (8) To hold at least one legislative hearing every three years in conjunction with the development of the State Plan.[‘676(a)(3)]
- (9) To make available for the public inspection each plan or revised State Plan in such a manner as will facilitate review of and comment on the plan. [‘676(e)(2)]
- (10) To conduct the following reviews of eligible entities:
- a. full onsite review of each such entity at least once during each three-year period;
 - b. an onsite review of each newly designated entity immediately after the completion of the first year in which such entity receives funds through the Community Services Block Grant program;]
 - c. follow-up reviews including prompt return visits to eligible entities, and their programs, that fail to meet the goals, standards, and requirements established by the State;
 - d. other reviews as appropriate, including reviews of entities with programs that have had other Federal, State or local grants (other than assistance provided under the Community Services Block Grant program) terminated for cause. [‘678B(a)]
- (11) In the event that the State determines that an eligible entity fails to comply with the terms of an agreement or the State Plan, to provide services under the Community Services Block Grant program or to meet appropriate standards, goals, and other requirements established by the State (including performance objectives), the State will comply with the requirements outlined in Section 678C of the Act, to:
- a. Inform the entity of the deficiency to be corrected
 - b. require the entity to correct the deficiency
 - c. offer training and technical assistance as appropriate to help correct the deficiency, and submit to the Secretary a report describing the training and technical assistance offered or stating the reasons for determining that training and technical assistance are not appropriate;
 - d. at the discretion of the State, offer the eligible entity an opportunity to develop and implement, within 60 days after being informed of the deficiency, a quality improvement plan and to either approve the proposed plan or specify reasons why the proposed plan cannot be approved;

- e. after providing adequate notice and an opportunity for a hearing, initiate proceedings to terminate the designation of or reduce the funding to the eligible entity unless the entity corrects the deficiency. [’678(c)(a)]

(12) To establish fiscal controls, procedures, audits and inspections, as required under Sections 678D(a)(1) and 678D(a)(2) of the Act.

(13) To repay to the United States amounts found not to have been expended in accordance with the Act, or the Secretary may offset such amounts against any other amount to which the State is or may become entitled under the Community Services Block Grant program. [678D(a)(3)]

(14) To participate, by October 1, 2001, and ensure that all-eligible entities in the State participate in the Results-Oriented Management and Accountability (ROMA) System [’678E(a)(1)].

(15) To prepare and submit to the Secretary an annual report on the measured performance of the State and its eligible entities, as described under 678E(a)(2) of the Act.

(16) To comply with the prohibition against use of Community Services Block Grant funds for the purchase or improvement of land, or the purchase, construction, or permanent improvement (other than low-cost residential weatherization or other energy-related home repairs) of any building or other facility, as described in Section 678F(a) of the Act.

(17) To ensure that programs assisted by Community Services Block Grant funds shall not be carried out in a manner involving the use of program funds, the provision of services, or the employment or assignment of personnel in a manner supporting or resulting in the identification of such programs with any partisan or nonpartisan political activity or any political activity associated with a candidate, or contending faction or group, in an election for public or party office; any activity to provide voters or prospective voters with transportation to the polls or similar assistance with any such election, or any voter registration activity. [’678F(b)]

(18) To ensure that no person shall, on the basis of race, color, national origin or sex be excluded from participation in, be denied the benefits of, or be subjected to discrimination under, any program or activity funded in whole or in part with Community program funds. Any prohibition against discrimination on the basis of age under the Age Discrimination Act of 1975 (42 U.S.C. 6101 et seq.) or with respect to an otherwise qualified individual with a disability as provided in Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 12151 et seq.) shall also apply to any such program or activity. [’678FC]

(19) To consider religious organizations on the same basis as other non-governmental organizations to provide assistance under the program so long as the program is implemented in a manner consistent with the Establishment Clause of the first amendment to the Constitution; not to discriminate against an organization that provides assistance under, or applies to provide assistance under the Community Services Block Grant program on the basis that the organization has a religious character; and not to require a religious organization to alter its form of internal government except as provided under Section 678B or to remove religious art, icons, scripture or other symbols in order to provide assistance under the Community Services Block Grant program. [’679]

Other Administrative Certifications Attachment E The State also certifies the following

- (1) To provide assurances that cost and accounting standards of the Office of Management and Budget (OMB Circular A-130 and A-122) shall apply to a recipient of Community Services Block Grant program funds.
- (2) To comply with the requirements of Anti-Lobbying, Drug Abuse, Debarment and Suspension, and Public Law 103-227, Part C Environmental Tobacco Smoke, also known as the Pro-

Children Act of 1994, which requires that smoking not be permitted in any portion of any indoor facility owned or leased or contracted for by an entity and used routinely or regularly for the provision of health, day care, education, or library services to children under the age of 18 if the services are funded by a Federal grant, contract, loan or loan guarantee. The State further agrees that it will require the language of this certification be included in any sub-awards, which contain provisions for children's services and that all sub-grantees shall certify accordingly.

- (3) In accordance with the Maine Single Audit Act, the last audit undertaken for the State of Maine/ Community Services Block Grant was for the state fiscal year 2008 ending June 30, 2008. The 2008 State Single Audit was completed and will be released on August 31, 2009.

Signature

Date

William W. Boeschstein, Jr., Chief Operating Officer

Maine Department of Health and Human Services

V. THE NARRATIVE STATE PLAN

A. Administrative Structure

A. (1) State Administrative Agency

The Maine Department of Health and Human Services was re-designated as the Lead State Agency to administer the CSBG Program effective June 18, 2009. The Governor's designation also designated the Community Partnership Unit/Division of Purchased Service Management in the Office of Child and Family Services as the functional unit to administer CSBG funds.

- July 1, 2005 – The State Legislature enacted legislation to restrict the programs and functional organization of the new Department of Health and Human Services. The legislature directed the Commissioner of DHHS along with legislative appointed focus groups to work on proposed program restructuring to be submitted to the Legislature in January of 2006.
- January 2006 – The Community Service Center was dissolved and the program oversight functions of this Division were placed under the Office of Child and Family Services (OCFS). Under the new structure, a separate division—the Division of Purchased Services—is responsible for compiling contracts, collecting reports, and making payments to agencies. Additionally, some programs that had been part of the Community Services Center, such as Refugee Services and Head Start, were transferred to other Divisions within the Department of Health and Human Services.
- April 2006 – Under the Office of Child and Family Services, the Community Service Center was renamed the Community Services Unit and placed within the newly formed Division of Public Service Management. The Community Services Unit is responsible for contract performance measures and monitoring program performance. The CSBG State Administrator position was vacant, and in the interim the Director of the Division of Public Service Management covered these duties.
- October 2006 – A supervisor for the Community Services Unit was hired. This person serves as Maine's CSBG Program Coordinator.
- September 2010 – A Community Services Block Grant Coordinator was hired. This person serves as Maine's CSBG Program Administrator. The CSBG Program Coordinator performs site visits to oversee performance based contracts, prepares the annual CSBG Information System Survey Report and state plan/application, meets regularly with Community Action Agency Program/Directors, and works collaboratively with the Maine Community Action Association to ensure agencies are providing high quality services to Maine citizens that meet the desired outcomes of the CSBG.
- 2012 – Under the Office of Child and Family Services, the Community Service Center was renamed the Community Partnership. The Community Partnership Unit is responsible for contract performance measures and monitoring program performance.
- DHHS organizational chart **Attachment F**

Commitment to Outcomes

Through this State Plan, DHHS/OCFS commits to directing its CSBG resources and activities toward achieving measurable outcomes in six overarching goals. These goals represent a nationwide commitment within the community action network and they are fully embraced by Maine community action agencies. The six goals are:

- 1) Low-income people become more self-sufficient.

The Maine CSBG enables vital partnerships between community action agencies and low-income people and communities. Community action agencies create opportunities for low-income people to transcend poverty and achieve economic self-reliance.

- 2) The conditions in which low-income people live are improved.

Maine ensures that CSBG resources are used by the State's community action agencies to facilitate improvements in the physical, emotional, economic and social conditions in which low-income people live.

- 3) Low-income people own a stake in their community.

Maine encourages community action agencies to actively assist low-income individuals in becoming active, involved citizens.

- 4) Partnerships among supporters and providers of services to low-income people are achieved.

Maine actively seeks opportunities within State government to link the work of CSBG with other programs and agencies focused on the needs and concerns of low-income families. Maine encourages statewide collaborations through its support of the Maine Community Action Association (MCAA). Additionally, Maine encourages community action agencies to develop meaningful partnerships within the communities they serve. To that end, partnership data is an element within the quarterly reports required of Maine community action agencies.

- 5) Agencies increase their capacity to achieve results.

Maine is supportive of agencies' on-going development of the capacities that lead to positive results for low-income people and communities. Maine provides training and technical assistance and it partners with MCAA to strengthen individual agencies and the statewide CSBG network. Discretionary grants are available for capacity-building activities within individual agencies and across the network.

- 6) Low-income people, especially vulnerable populations, achieve their potential by strengthening family and other supportive systems.

Maine supports community action agencies as they work within their communities to develop and provide service systems that are supportive of vulnerable populations.

Through analysis of progress toward these six goals, Maine measures its success in meeting the intent and purposes of the CSBG Act.

With regard to the Community Action Program, the Department has the following goals:

- 1) The economic self-sufficiency and household stability of low-income Maine families will be improved.
- 2) The economic and social health (conditions) of the community will support the aspirations, participation, and advancement of low-income persons.

To meet these goals, the State of Maine has the following objectives:
The CSBG Program Coordinator will:

- 3) Advocate for the mission and vision of Maine's Community Action Agencies (CAA's). This includes promotion and education to State officials, legislatures, and the public about the mission of Community Action in fighting poverty.
- 4) Improve collaboration among ten of the State CAAs and State systems to improve and increase the capacity of CAAs by better coordination and use of state resources and vice versa. The State can provide the citizens of the State better services with increased coordination with the ten CAAs services.
- 5) Improve sharing of information within existing State computer systems as allowable by law given privacy considerations and rules and regulations.
- 6) Be a liaison between the CAAs and State bureaucracy in supporting the CAAs and enriching the relationship between the State and the CAAs.
- 7) Build State strategy to focus resources on anti-poverty initiatives and use existing resources to assist in the elimination of poverty as a mission.
- 8) Establish a mission to refocus State resources on developing strategies to end poverty.
- 9) Work to improve State systems (computer, reporting, etc.) to better support the local CAA initiatives.
- 10) Work to assure CAA accountability without micro managing outcomes.
- 11) Work with CAAs relating need assessments to program outcomes via the ROMA system.

A. (2) Eligible Entities

The Community Services Block Grant funds are distributed to Maine's Community Action Agencies (CAAs) for the purpose of ameliorating the causes of poverty found in Maine communities. The chart below lists the eligible agencies, the counties in Maine that they serve, and their allocation for the October 2013 through September 2014 contract year.

In accordance with the Maine Community Services Act, Title 22 Maine Revised Statutes Chapter 1477, et.seq., **Attachment B**, each of the CAAs were re-designated as Community Action Agencies on October 1, 2011 effective through September 30, 2018. **Attachment G**

A. (3) Distribution and Allocation of Funds for Current Fiscal Year

Community Action Agency	Designated County/Counties Served	Allocation
Aroostook County Action Program	Aroostook	\$ 311488
Community Concepts, Inc.	Androscoggin and Oxford	\$ 380566
Kennebec Valley Community Action Program	Kennebec and Somerset	\$ 382325
Midcoast Maine Community Action	Sagadahoc and Lincoln, Northern Cumberland	\$ 252965
Penquis Inc.	Penobscot, Piscataquis and Knox	\$ 464514
The Opportunity Alliance Formally People's Regional Opportunity Program	Cumberland	\$ 362018
Waldo Community Action Partners	Waldo	\$ 224981
Washington Hancock Community Agency	Washington and Hancock	\$ 302214

Western Maine Community Action	Franklin	\$ 214588
York County Community Action Corp.	York	\$ 302374

B. Description of Criteria and Distribution Formula

Agency allocations are based on an existing formula that distributes 50% of available funds equally to each agency and prorates 50% of remaining funds based on the number of individuals with incomes less than 125% of poverty within each agency's geographic catchment area.

The 2010 Census prompted a review of the distribution formula and may result in modification of each entity's proportionate share in FY15.

Use of CSBG funds will be specifically limited to the stated purposes and requirements of the CSBG Act as allowed by applicable Federal and State regulations.

All agencies are required to request and receive approval for use of any carry-over funding. The request must identify the reason for the carry-over and specify the proposed use of the carry-over funds. Decisions on requests for use of carry-over funds will be made by the Director of the Office of Child and Family Services, or his/her designee.

C. Description of Distribution and Use of Restricted Funds

Anticipated allocations of restricted funds for each eligible entity are noted in the chart above. This funding is distributed through a state contract. Agencies must demonstrate in Rider A of their contract, uses of the funding. This use must meet the criteria established in the 42 USC 9901 Section 672. Funding under the Community Services Block Grant assists agencies in meeting the needs of low income families through a variety of core programs, including: energy assistance, transportation services, child care services, housing services, health services, mental health and drug addiction services, referral, case management services, and community building activities.

D. Description of Use of Discretionary Funds

OCFS is allocating up to 5% of its annual anticipated CSBG federal allotment - for discretionary expenses in FY2014 and FY2015A portion of discretionary funds will be set aside to conduct a State of Maine Statewide Comprehensive Community Needs Assessment. Through the needs assessment strengths and weaknesses will be identified and Action Steps will be outlined.

A portion of CSBG discretionary resources may be set aside to provide:

- additional training and technical assistance responsive to the needs of the Maine network,
- for activities supportive of community action agencies' on-going development and implementation of Results Oriented Management and Accountability,
- for quality improvement initiatives,

- for emergent needs (agency-in-crisis, natural disaster, etc.)

E. Description of Use of Administrative Funds

The Department of Health and Human Services/Office of Child and Family Services is allocating up to 5% of its annual anticipated CSBG federal allotment for administrative expenses in FY2012. This will fund the salary and fringe benefits of a Community Services Coordinator assigned to CSBG, the travel and registration costs associated with ongoing staff training and technical assistance, membership in national partnership organizations i.e. NASCSP, Community Action Partnership, CAPLAW, etc., and a cooperative agreement with USM for technical assistance in the maintenance of a data base for agency performance based quarterly reporting. Work will continue on the improvement and implementation of, changes to the CSBG Information System Survey/ROMA report. The remainder of administrative funds is used to support the State of Maine DHHS Cost Allocation Plan.

With a firm need for State CSBG staff to have ongoing opportunities to grow the requisite skills required to provide Maine community action agencies with oversight, training and technical assistance and leadership, professional development will be supported with administrative funds. State CSBG staff will be afforded opportunities, as schedules to participate in the National Association for State Community Services Programs (NASCSPP) training conferences and events, the Community Action Partnership's annual training conference, National ROMA Peer-to-Peer Trainer in-service events, the CAPLAW Training Conference, Grant-Funded Program Management Conference and/or other relevant trainings identified throughout the year. At minimum CSBG Staff are committed to two such training events per year.

F. State Community Service Program Implementation

The State of Maine has ten agencies designated as CAA's, which provide anti-poverty program coverage to the entire state. **Attachment H** Each agency is governed by a tripartite board, which assures local participation in the design of the anti-poverty programs to best serve the region's specific economic and social needs. The following briefly describes each CAA and includes a summary of that CAA's local area needs and service delivery.

F. (1) Program Overview: Describe the following using information provided to the State by eligible entities:

F. (1) (a) Service Delivery System

The ten Community Action Agency programs in Maine are formally associated through their membership in the Maine Community Action Association comprised of each CAA's executive director. Although each CAA is somewhat different in its overall combination of programs, all CAAs have the same general mission to help alleviate poverty in their communities through the provision of direct social services, acting as a local conduit of services for a wide variety of state and federal agencies, and forming collaborations with local organizations to maximize favorable results on behalf of low-income individuals and families across Maine. Through the MCAA, CAAs regularly collaborate statewide on broad policies and state wide programs affecting low-income people, but as individual community action agency programs, they act independently as leaders and organizers to address the issues facing low income families and individuals.

CAAs typically serve the largest number of low-income individuals and families in their local county or counties' service area through the Low Income Home Energy Assistance Program

(LiHEAP). From the entry point of LiHEAP, CAA staff often assess a variety of additional needs facing the applicant and make appropriate referrals to other internal anti-poverty programs, to local offices of the State such as the Maine Department of Health and Human Services, and to a wide array of local non-profits such as food pantries, substance abuse programs, job training programs, etc.

With forty plus years of serving low income people in their counties, Maine's Community Action Agency Programs have a keen sense of the needs of low income people as well as the network of local, private, state, and Federal programs in place to help alleviate those needs. Community action programs across the state have employed a similar strategy to identify a wide range of innovative, yet locally appropriate, services and activities to address the needs.

CAAs benefit from input of the Maine Department of Health and Human Services, their peers at the Maine Community Action Association, and their senior staff as they strive to identify a wide range of innovative services, however the bulk of data leading to these decisions come from frequent community needs assessments and the subsequent strategic planning from their tripartite boards of directors.

Summary of Services for all ten (10) Community Action Agencies

The ten state community action agencies work with low-income people to become sufficient by assisting these individuals and families to overcome economic and social barriers that prevent them from being fully responsible for and in control of their own lives. Funding under the Community Services Block Grant assists agencies in meeting the needs of low income families through a variety of core programs, including: energy assistance, transportation services, child care services, housing services, health services, mental health and drug addiction services, referral, case management services, and community building activities.

Beyond core services, the State of Maine CAAs' work plans reflect strategies to address the unique needs of each service area.

F. (1) (b) Linkages

The State CSBG Office has many strategies to ensure that the needs of the State are met in a collaborative fashion. These strategies ensure there is coordination among state agencies, non-profits and businesses throughout the state, as well as, across the Nation.

A few examples of these linkages are: State CSBG staff serve on several State committees which have been convened to develop and implement a statewide homeless prevention action plan and homeless information system; staff sit on the Maine Continuum of Care Board which develops State strategies and directs regional HUD McKinney Vento funds; staff participate in the "Maine Community Action Network" which is working to improve Maine's CSBG National Performance Indicator outcome results.

The Community Action Agencies of Maine have many strategies to ensure that the needs of their communities are met in a collaborative fashion. These strategies ensure that there is coordination among service providers within each CAA catchment area, as well as, across the boundaries of individual CAA's.

The Maine Association of Community Action Agencies serves as a venue for the executive directors of each agency to discuss and develop strategies to address issues that cross agencies. Furthermore, many of the executive directors have formed strong partnerships with the agencies that border their catchment area to ensure that citizens are served according to their need.

Agency directors also serve on numerous community boards and commissions within their service area to provide coordination of services and eliminate duplication. These include regional ACCESS collaborative (Alliance for Child Care, Education and Supportive Services), university and Community College Boards, Child Abuse and Neglect Councils, regional Child Development Services, regional Communities for Children, school districts, Healthy Community Coalitions, Keep Maine Warm, mental health agencies, transportation boards, public utilities, Job Corps, literacy coalitions, development commissions, local Department of Health and Human Services offices, financial institutions, and local government organizations.

F. (1) (c) Coordination with Other Public and Private Resources

All ten Community Action Programs in Maine leverage CSBG with other federal funds, state general funds, state special revenue funds, and private funding to provide services to low income individuals and families. The scope of coordination is demonstrated in the State's CSBG IS Statistical Report FY09. **Attachment I**

F. (1) (d) Innovative Community and Neighborhood Initiatives

Agencies engage in community and neighborhood initiatives that strengthen the community. Examples of such initiatives include;

1. At Home Downeast is a membership-based program of the **Washington Hancock Community Agency** (WHCA) with the goal of helping seniors live in their homes for as long as they can safely do so. Services provided by staff or vetted volunteers will include transportation to medical appointments, shopping, and community events, weekly grocery and prescription delivery, a health and home safety assessment, technology assistance, and other services.

2. For several years Wayside Soup Kitchen, a Portland-based agency, had distributed USDA commodity as well as other foods to York and Cumberland County pantries through its Food Rescue Program. However, in late spring of 2007, the organization decided to discontinue the program in York County. Over the summer and fall, a group of key partners, convened by **York County Community Action** and the United Way, and concerned about the gap in service, met with the goal of creating York County Food Rescue. This program would continue to serve and support the efforts of the 43 food pantries and meals programs in York County, who depend upon this crucial resource in their role as a safety net for struggling families

A local pantry and neighborhood organization, Stone Soup, assumed programmatic responsibility for the operation and York County Community Action assumed the role of fiscal agent for the fledgling program. York County Shelters, Inc. donated space at an old mill building in South Sanford; and the York County United Way provided start-up funds to purchase a small truck and hire a full-time staff member. A county-wide Advisory Committee was formed, with over 15 committed members, to support the planning, fundraising and operational needs of the program. To date, the Committee has secured over \$90,000 in start-up funds, including a \$30,000 grant from the Stephen and Tabitha King Foundation for the purchase of a refrigerated truck, and municipal funding from four York County towns.

Monthly distributions of USDA commodities and a variety of other food resources have been underway since January of 2008, thereby ensuring a regular supply of food for York County's food pantries and soup kitchens. Food Rescue staff recover both perishable and non-perishable food from an ever expanding number of large and small donors including Hannaford and Shaw's Supermarkets. The food is either picked up from donors or delivered directly to the warehouse

where it is inspected, sorted, and prepared for distribution to the network of meals programs, who rely on it for anywhere from 20 to 75% of their food supplies. In fact, estimated total poundage of food distributed in FY13 is 315,000! The result of these relationships and partnerships is effective, well-organized, safe and efficient food distribution to the community – a major supplement to a food supply that has been dwindling at a time when the need is rapidly increasing.

F. (2) Community Needs Assessments

Traditionally CAAs have developed an annual community needs assessment process, as required by CSBG, to remain apprised of gaps in services. Community partners take an active role, through surveys, forums, advisory committees, and board membership, of informing CAAs of gaps in service. As a contribution to the solution, these same partners provide information; make appropriate referrals, and often aid in case management.

State contracts with the Community Action Agencies are renewed on an annual basis. The contracts contain an annual work plan (Rider A, Section III) developed by the Agencies' management teams; drawing from recent community needs assessments. **Attachment J** The community needs assessments are submitted as either part of the contract, or as a supplement. The work plans proposed in the contracts are reviewed and approved by the Department prior to renewal of the contracts. Partial state funding for Maine Community Action Association (MCAA) goes periodically toward a statewide report on poverty in Maine. MCAA has contracted with the Margaret Chase Smith Center for Public Policy to present the profile of poverty in the State of Maine in two major reports in 2007, and again in 2010. Currently, Poverty in Maine Updates; February and August, 2008 and April, 2009 are providing interim statewide poverty information before the next Poverty in Maine is published again. **Attachment K** From these documents, each CAA can quantify their need for the low income.

F. (3) Tripartate Boards

State of Maine statute (22 M.R.S., Section 5325) requires each community action agency to establish of board of directors with between 15 and 30 members, of which one third represent low-income residents, one third represent public officials, and one third represent private sector organizations. This requirement is also included in Rule 10-144 Chapter 2, Section 1.4, filed with the Maine Secretary of State. **Attachment L**

Community Action Agencies submit to the Division of Purchased Services a roster of current board members each year when the contract is reviewed and renewed. The Community Services Coordinator, in order to ensure that each of the statutorily required members is adequately represented, reviews this roster at this time. Any changes in Board membership during the contract year must be submitted to the Community Services Coordinator. All ten CAAs in the State of Maine are in conformance with this requirement, currently.

F. (4) State Charity Tax Program

Not Applicable

G. Programmatic Assurances

ASSURANCE 676(b)(1)

Community Services Block Grant funds are directed solely to the objectives stated in subsection 676(b)(1)(A)(B)(C). Funds are distributed among all of the state's designated community action agencies through a formal contract process. The actual programs and activities used to address these Goals and Objectives vary from agency to agency, depending on the specific needs within their service areas. However, the CSBG contract must include a specific agency work plan that addresses the state's mandatory contract Goals and Indicators, which mirror the CSBG National Goals. The Department of Health and Human Services approves no contract until this requirement is met. The inclusion of the agency work plan in the contract ensures that services are directed to enable families and individuals to achieve the objectives in subsection 676(b)(1)(A)(B)(C).

ASSURANCE 676(b)(4)

As USDA donated commodity food distribution sites, most of the designated community action agencies are active participants in the Temporary Emergency Food Assistance Program (TEFAP), which includes all food pantries, shelters, congregate meal sites, etc. The Maine (and Regional) Coalitions for Food Security, made up of local United Way's, Food Networks, Cooperative Extension, and various community groups, are actively involved in the process of developing food security planning, food rescue initiatives and emergency assistance as well as;

- Community-based needs assessments,
- Comprehensive, multi-sector project strategies,
- Community linkages and stakeholders,
- Crisis response strategies for individuals and communities
- Long term strategic designs i.e. State Nutrition Action Plan

ASSURANCE 676(b)(5)

Three of Maine's community action agencies are designated service providers for the Department of Labor Workforce Investment Act (WIA) which provides services to adult, youth, and the dislocated workers throughout their service areas in Career Centers located throughout the state. These Career Centers develop active, effective partnerships with local, county, and state organizations. All CAA's partner closely with the Training and Development/Career Centers in their area providing referrals, internships and volunteer opportunities to individuals receiving TANF, Incubator Without Walls Programs that work closely with low income individuals interested in learning how to successfully operate a micro enterprise, job placement, and vocational training programs.

ASSURANCE 676(b)(6)

The ten designated CSBG program agencies also administer the Title XXVI emergency energy crisis intervention programs. Joint administration within their agencies assures statewide program coverage.

ASSURANCE 676(b)(9)

The State CSBG Coordinator has an ongoing working relationship with the TANF and ASPIRE initiatives, including the planning and coordination of support services, such as child care and transportation, for individuals and families enrolled in the ASPIRE program and those who have left the TANF program but still require support services to assist them in reaching self-sufficiency. The State CSBG Program Coordinator also works closely with the Maine State Housing Authority that administers HUD funds and the LIHEAP Program, assisting with HUD applications for housing assistance for low-income individuals and families. The State CSBG Program Coordinator reports to the Director of Team Leader of Community Partnership who meets with the Senior Management Team, responsible for planning and coordinating all federal

grants and state general funds for social services under the jurisdiction of the Office of Child and Family Services.

As stated above in Assurance '676(b)(5), the ten designated community action agencies are members of the Department of Health and Human Services regional Welfare to Work Community Task Forces, and are active members of local and regional social service consortiums.

H. Fiscal Controls and Monitoring

H.(1) State Program Monitoring

The Purchase of Service Policy Manual promulgated under the Administrative Procedures Act regulates the fiscal controls and reporting procedures and requirements. The standard contract for the CAA also addresses fiscal controls and reporting requirements.

The reorganization of the Department of Health and Human Services, as previously mentioned, has resulted in a new unit for Quality Assurance, the Community Partnership Unit at OCFS. This unit is responsible for the monitoring of the ten CAAs. At a minimum of every three years, the Community Partnership Unit conducts a formal site visit. On-going desk reviews of required reports from CAA's occur annually.

Following the formal site visit, the Community Partnership Unit Supervisor will complete a report on the review for submission to the Director of Community Partnership Unit. The formal site visit consists of seven major components.

- The first component is a review of all financial reports. The financial review includes a review of income and expenses, examination of any significant funding changes, and a review of any previous audit findings, etc.
- The second and third components are an in-depth program and services review, including an examination of client files, a review of an agencies' intake, assessment and referral process, a review of confidentiality procedures, and community connections; understanding and documentation of the agency's collaborative efforts within its communities.
- The fourth and fifth components are reviews of the agency management; self-evaluation, strategic plans, operational plans, and human resources; including training and qualification of staff, whether the agency has personnel policies in place, whether appropriate background checks were completed, etc.
- The sixth component is a review of Results Oriented Management and Accountability (ROMA) Performance Indicators and Program Evaluation.
- Finally, the Community Partnership Unit will review the makeup of the board of directors to ensure compliance with state and federal regulations.

Each year, the CSBG Program Coordinator will meet with the Supervisor of Community Service Unit and discuss any additional initiatives, monitoring, technical assistance and training the Program Coordinator needs for the year.

For Fiscal Year 2014 – The Community Service Unit completed a round of site reviews according to these seven components and working with the CAAs regarding improvement of needs assessments and service delivery towards a closer connection between service delivery and evidence based need assessment. The CSBG Administrator worked to clarify and insure that reporting requirements reflected in changes to the CSBG IS Report was integrated into contracting procedures between the Divisions of Purchased Services and The Office of Child and Family Services as well as the Community Action Agencies.

H. (2) Corrective Action, Termination and Reduction of Funding

The State of Maine has a standard Rider B that is used in State contracts. Rider B #15 states:

“The performance of work under the Agreement may be terminated by the Department in whole, or in part, whenever for any reason the Agreement Administrator shall determine that such termination is in the best interest of the Department. Any such termination shall be effected by delivery to the Provider of a Notice of Termination specifying the extent to which performance of the work under the Agreement is terminated and the date on which such termination becomes effective. The Agreement shall be equitable adjusted to compensate for such termination, and modified accordingly.”

The state Rules for the Community Services Block Grant also address termination of funding and appeal rights of community action agencies in Section 10-144 Chapter 2, Section 1.5 E. In the rules, the reasons for terminations are similar to those listed above. The rules also speak to the appeals rights.

The Department must notify the Director and the Board chairperson of the CAA in writing of the intent to terminate, stating grounds for termination. The CAA has 10 days to request a hearing. A review panel will be appointed within 20 days of the receipt of the CAA request for a hearing. The review panel will hold a hearing within 20 days of appointment. The review board will make a decision within 10 days of the hearing. The Department of Health and Human Services will notify the CAA of the decision within 5 days and then the CAA is eligible to request a fair hearing within the fair hearings unit of the Department of Health and Human Services Administrative hearing unit. The Secretary would then approve any final termination. The CAA would then be eligible to appeal to the appropriate superior court within 30 days under Rules of Civil Procedure, Rule 80B.

Section 1.6 of the Rules outlines the CAA rights and requirements for corrective action plans. The CAA must be notified by the Department of Health and Human Services, in writing, of any determination of noncompliance. The Department will provide technical assistance to the CAA to assist the agency in meeting the corrective action plan within 30 days. The Department will prepare a report on the results of the finding and the actions taken, if the condition is not satisfactorily resolved the Department may withhold the CAA funding until compliance is resolved.

H. (3) Fiscal Controls, Audits and Withholding

Assurance 676(b)(7) – Federal Audits

Community agencies are subject to the Federal audit requirements contained in OMB Circular A-153 and the Department of Health and Human Services audit requirements contained in the Maine Uniform Accounting and Auditing Practices for Community Agencies.

Assurance 676(b)(8)

Please see section on corrective action, termination, and reduction of funding

Assurance 676(b)(10)

State of Maine statute (22 M.R.S. Section 5324) and Rules filed with the Maine Secretary of State (10-144 Chapter 2, Section 1.3) specify the requirements for an entity eligible to receive Community Services Block Grant funding. As stated, the Community Partnership Unit within the

Office of Child and Family Services is the entity authorized to designate a community action agency. In designating a CAA, the Division considers whether the board of directors is established in accordance with federal requirements, whether the agency can demonstrate evidence of fiscal control, and whether the agency can demonstrate evidence of adequate program planning in accordance with federal and state requirements. The designations of the Division are for seven years, unless just cause is found to withdraw the designation

Community stakeholders are selected for representation on CAA Boards through a democratic process as required by Maine Statute. **Attachment B** Community Action Agencies address the process for selection of community stakeholders, including petitioning for representation, in each of their policy and procedures manuals. The state Community Partnership Unit Team Leader reviews these manuals during regular site visits.

Community Action Agencies submit to the Division of Purchased Services, a roster of current board members each year when the contract is reviewed and renewed. The Community Services Coordinator, in order to ensure that each of the statutorily required members is adequately represented, reviews this roster at this time. Any changes in Board membership during the contract year must be submitted to the Community Services Coordinator. All ten CAAs in the State of Maine are in conformance with this requirement, currently.

I. Accountability and Reporting Requirements

I. (1) Results Oriented Management and Accountability (ROMA)

The Maine Community Action Association and the State of Maine has over the past few years been engaged in a collaborative effort to develop a performance management system that not only meets ROMA goals of the Office of Child and Family Services, but also assists the agencies in the overall planning and management of their programs. A task force, with representation from the majority of CAA agencies, meets regularly to review and agree to performance targets for each of the core services delivered at the CAAs. These performance targets directly correspond to all six ROMA Goals.

Each of the goals, performance measures and activities being reported on by Community Action Agencies (with CSBG funding), are listed by major program area in the Maine Child and Family Services Program Report for Fiscal Year 2013. **Attachment M**

I. (2) Annual Report

The State of Maine will be submitting the FY2014 and FY2015 Annual Reports under separate cover as directed.